



## **POLICY AND ADMINISTRATIVE PROCEDURES**

### **Manual of Policies and Procedures**

Title

## **STAFF DEVELOPMENT EMERGENCY OPERATIONS**

Legal References (includes but is not limited to)	Related Policies/Procedures (includes but is not limited to)	Other References (includes but is not limited to)
IC 11-8-2-5(a)(8) IC 11-8-2-5(a)(13) IC 11-8-2-8(d) IC 11-8-2-8(e)	00-02-101 00-04-101 01-03-103 04-03-103	ACA: ACI: 3-4068, 3-4070 thru 4073, 3-4076, 3-4079 thru 3-4085, 3-4090, 3-4091, 3-4351 JTS: 1D-01, 1D-03, 1D-08 thru 1D-14 CO: 2-CO-1D-01 thru 2-CO-1D-09

### **I. PURPOSE:**

This policy establishes a comprehensive training system which will enable correctional staff to discharge duties more efficiently and effectively. This policy identifies approved methods by which training will be accomplished.

### **II. POLICY STATEMENT:**

The Department shall establish a comprehensive system for staff training.  
Training programs shall:

- A. Prepare staff to understand and implement departmental goals, objectives and responsibilities;
- B. Continue to raise the level of staff performance;
- C. Continue to enhance the self-confidence of staff; and,
- D. Educate staff to current correctional concepts, ideologies, philosophies and techniques.

The Department shall encourage the utilization of all available departmental, public and private resources to develop and implement training programs. Training programs shall include New Employee Orientation, Preservice Academy, On-the-Job Training (OJT), In-Service Training and Emergency Response specialized workshops and professional conferences. An administrative training advisory committee shall be appointed by the Commissioner and shall assist in the assessment of training needs and the review/evaluation of the training programs.

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The Department shall encourage staff development and shall provide educational or training opportunities and activities with relation to staff responsibilities. A monitoring and review system shall be initiated to ensure compliance.

### **III. DEFINITIONS:**

For the purpose of these administrative procedures, the following definitions are presented:

- A. **ADJUNCT INSTRUCTOR:** Instructors certified or designated to teach specialized trainings on an as needed basis, i.e., Security Skills, CPR, First Aid, Personal Protection, Firearms, etc.
- B. **ANNUAL TRAINING PLAN:** A detailed plan that identifies the facility/division's training program, including topics, schedules, resources and budgetary impact for the next program year.
- C. **COMPUTER BASED TRAINING (CBT):** Training that can be completed online at any facility.
- D. **CONTRACTOR:** Private vendors conducting business on Department/facility grounds who do not have regular contact with offenders.
- E. **CONTRACTUAL STAFF:** Non-state employees who have direct offender contact in support of offender programs and/or services.
- F. **CURRICULUM DEVELOPMENT MANAGER:** Staff Development Emergency Operations staff member who is responsible to oversee research, development, implementation and evaluation of training curricula utilized by the Department.
- G. **CURRICULUM DEVELOPMENT SPECIALIST:** Staff member(s) responsible for research, development, implementation and evaluation of training curricula utilized by the Department.
- H. **DEPARTMENTAL TRAINING ADVISORY COMMITTEE:** An advisory committee appointed by the Commissioner to assist in the review/evaluation of training programs.

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- I. EMERGENCY OPERATIONS (EO) TRAINING: Training conducted by professional instructors to enhance emergency response teams to identify, respond to and recover from all levels of emergency and conducted at designated training locations per the Departments Emergency Response Manual and Staff Development Emergency Operations Quarterly Training Calendar.
- J. EXECUTIVE DIRECTOR: The Executive Director of the Division of Staff Development Emergency Operations who reports directly to the Department's Chief of Staff.
- K. FACILITY TRAINING COORDINATOR (FTC): A full time staff person who provides specialized instruction for both new and veteran staff at one of the Correctional Facilities and who works under the operational control of the Regional Manager in the program design, establishment and administration of training for all facility and /or regional staff.
- L. FACILITY/DIVISION TRAINING COMMITTEE: A committee appointed by each Facility/Division Head and Regional Training Manager; responsible for assisting the Facility Training Coordinator in the assessment, development, planning and implementation of training programs.
- M. FACILITY TRAINING OFFICER: Staff who report to the Facility Training Coordinator to assist in program design, training coordination and instructing.
- N. FIELD TRAINING OFFICER (FTO): A staff person with specific knowledge, skills and training that is responsible for administering the OJT program to trainees.
- O. FIELD TRAINING OFFICER MANAGER (FTOM): A staff person designated by the Facility Training Coordinator with specific knowledge, skills and training that assists in the development, implementation and monitoring of the facility OJT program.
- P. IN-SERVICE TRAINING: Formal annual instruction for full-time staff, part-time staff, and contractual staff (as stipulated in the contract agreement), conducted each year of employment following the initial Preservice training and shall include, but not be limited to, all mandatory topics per statute, code, rules, policies and administrative procedures.
- Q. INTERMITTENT STAFF: Employee who fills a position that requires performance on an irregular or "as needed" basis. This type of

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appointment is limited to 180 working days in a twelve (12) month period unless an exception is allowed. (Includes clinical students and interns)

- R. **JOB SHADOWING:** Action of person(s) observing staff completing job duties. (Phase one is not considered training; however, Phase two is considered training )
- S. **MAKING A CHANGE ACADEMY:** Mandatory training for all new employees or transferees to a juvenile facility. The purpose of this academy is to provide staff working around juvenile offenders more detailed information regarding adolescent development and management of their behavior to include hands on training of practical application. This training consists of extensive role play and requires written test and scenario based testing for successful completion.
- T. **MANDATORY TRAINING:** This training shall include, but not be limited to, all identified programs as defined by statute, code, rules, policies and administrative procedures, ACA standards, or designated by the Commissioner in memorandum to the Executive Director of Staff Development Emergency Operations.
- U. **MEETINGS:** Scheduled gathering of designated persons for the purpose of disseminating information, resolving problems, planning, decision-making, exchanging of ideas and/or delegation of duties. (Typically, meetings are not training.)
- V. **NEW EMPLOYEE ORIENTATION (NEO):** This program consists of two (2) training phases for new staff that includes classroom based training topics and classroom based topics that new staff must complete prior to Academy attendance. Upon successful completion of both phases, the new employee will receive 40 hours of training credit.
- W. **ON-THE-JOB TRAINING (OJT):** Required training for all new staff, staff transfers to another shift or facility, or promoted staff, in areas specific to job classification, function, or assignment. OJT shall be under the supervision of an experienced OJT Trainer who has documented completion of training in topics covering training liability, documentation and evaluation procedures.
- X. **OTHER INTER-AGENCY STAFF:** Employees of governmental agencies who have regular supervision or contact with offenders. (i.e., labor lines, highway crews, recycling, etc.)

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- Y. PART-TIME STAFF: Employee who fills a position which does not require full-time attendance, but does require at least half-time attendance on a regular basis, that is, a predetermined amount of time per day or per week. A part-time staff member is paid a percentage of the biweekly salary received by comparably classified full-time staff.
- Z. PRESERVICE TRAINING: Required training for all new staff consisting of New Employee Orientation, Preservice Academy, and On-the-Job (OJT) Training. Some facilities may require additional facility/division specific training after the Academy.
- AA. REGISTERED VOLUNTEER: An individual who has completed all the requirements for becoming a volunteer, is approved for and engaged in a specified service regularly scheduled program and has agreed to serve without compensation by the Department.
- BB. REGIONAL TRAINING SITE: A specific facility site or location designated by the Executive Director, per authority of the Commissioner, for the purpose of conducting the Preservice Academy Program and other training programs as required.
- CC. REGIONAL TRAINING MANAGER: Staff Development Emergency Operations employee located at each of the Regional sites, who reports directly to the Assistant Director of Programs and the Executive Director of Staff Development Emergency Operations. Regional Training Managers have the operational responsibility over trainers in their region and is accountable for the quality, implementation, and documentation of all training in their region.
- DD. REFLECTIONS OF PRIDE STORE (ROP): The Reflections of Pride store (ROP) is a joint venture with Staff Development Emergency Operations and PEN Products. The ROP store is open at the 5 Regional Correctional Training Institute sites throughout the state for staff to purchase Department of Correction merchandise.
- EE. SCENARIO BASED TESTING: A form of testing utilizing trainers and staff who role play pre-determined scenarios. Participants will be observed and rated on how well they respond and handle the given situation utilizing techniques training in Preservice and Making A Change Academies.
- FF. STAFF: Any full-time, part-time, temporary or contractual state paid person with the Department, including the Indiana Parole Board.

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- GG. STAFF DEVELOPMENT MANAGER: A staff person assigned the responsibility for the operation of specific training function(s) within Staff Development Emergency Operations or the Department and who is responsible for overseeing the research, development, design, establishment and implementation of training programs.
- HH. TEMPORARY STAFF: A staff person assigned to a position in the merit service for a maximum period of ninety (90) working days.
- II. TRAINING: Instruction providing knowledge and skill to perform a current job assignment including: formal classroom instruction; On-the-Job Training (OJT); training meetings, workshops, or conferences which include a formal agenda and instruction by a qualified presenter; skill based performance training; or, other instructional programs, which include a trainer/trainee relationship. Training programs include requirements for successful completion, attendance recording, a system of recognition of completion and a system of evaluation.
- JJ. TRAINING NEEDS ASSESSMENT: Formal examination and review of relevant information that identifies knowledge, skill or performance needs, or deficiencies.
- KK. TRAINING PROGRAM WEEK: Equivalent to State of Indiana work week.
- LL. TRAINING PROGRAM YEAR: The training program year is based upon the State fiscal year (i.e., July 1 to June 30).
- MM. TRAINING REVIEW: A formal review and evaluation of training operations for compliance with statute, code, rules, policy and administrative procedure.
- IV. DIVISION EXECUTIVE DIRECTOR RESPONSIBILITIES:

The Commissioner shall employ a qualified person to serve as the Executive Director of the Division of Staff Development Emergency Operations. The Executive Director shall report to the Chief of Staff. (ATTACHMENT I "SDEO Organization Chart")

The Executive Director is responsible for the comprehensive development, implementation, review and evaluation of training on a Department-wide basis and the administration of the Division budget.

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Specific responsibilities of the Executive Director/designee shall include:

- A. Submit an annual Department Training Report to the Commissioner;
- B. Review and evaluate the facilities'/divisions' training plans;
- C. Formulate Quarterly Training Calendars for review by the Administrative Advisory Committee that lists all courses/classes to be offered, dates the courses/classes are offered, synopsis of each course/class, including length in hours, targeted audience, objectives and prerequisite training with enrollment information;
- D. Appoint task groups/work committees for special projects related to departmental training and staff professional development;
- E. Ensure facilities/divisions use an Annual Training Needs Assessment process for the development of the Annual Training Plan;
- F. Administer the training reviews of correctional training functions;
- G. Ensure the development, delivery or coordination of "Certification Programs," as needed, or as identified by the Commissioner;
- H. Ensure the development/delivery or coordination of trainer development programs;
- I. Provide input to the Facility Head for the Annual Performance Appraisal of the Regional Training Managers;
- J. Provide representation for all staff trainer interview panels and provide the interview instrument and materials. Approve or disapprove recommendation of Facility/Division Head for trainer selection;
- K. Review and approve all departmental training curricula; and,
- L. Assign a Regional Training Manager/designee from the SDEO management staff to conduct at least quarterly, an inspection of all Division areas and submit a written report to the Executive Director. This will include at a minimum: pest control, hazardous materials, fire/safety issues, food service, accidents/injuries, physical plant, sanitation and ongoing projects.

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### **V. ADMINISTRATIVE ADVISORY TRAINING COMMITTEE:**

The Executive Director shall convene an Administrative Advisory Training Committee on an annual basis to assess, review and evaluate training in the Department.

The committee shall consist of the Chief of Staff, Executive Director of Staff Development Emergency Operations, the Deputy Commissioner of Operations, the Deputy Commissioner for Re-entry and Director of Human Resource.

The Executive Director of Staff Development Emergency Operations shall serve as the chairperson. The Executive Director of Staff Development Emergency Operations shall ensure that minutes of the meetings are maintained and a copy provided to the Commissioner with recommendations for changes.

The chairperson and three (3) committee members must be present to conduct a business meeting.

### **VI. TRAINING COMMITTEE APPOINTMENTS:**

- A. Each facility shall have a training committee of at least five (5) persons. Members of the Facility Training Committee shall consist of the Regional Training Manager/designee, Facility Training Coordinator, Field Training Officer (FTO), Re-Entry staff member, and a staff member from Operations. These members are appointed in writing at the discretion of the Facility Head and the Regional Training Manager. The Regional Training Manager and the Facility Training Coordinator shall be permanent members of the committee and shall serve as facilitators for meetings.
- B. Divisions that have an assigned or designated trainer position responsible for the training of staff in that division shall have a training committee. Criteria and requirements are the same as those identified for facilities.

### **VII. FACILITY TRAINING COMMITTEE RESPONSIBILITIES:**

The responsibilities of the Facility Training Committee are:

- A. To provide guidance and assistance in the distribution, collection and interpretation of the Annual Training Needs Assessment by March 1. (NOTE: A review of Assessment sources shall be part of the Annual Training Review.) Annual Training Needs Assessment is submitted to the appropriate Regional Training Manager by March 1. A copy is forwarded to the Assistant Director of Programs by March 15.



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1. Review quarterly a summary of program participant evaluations as provided by the Facility Training Coordinator;
  2. Review offender Disciplinary Hearings results and findings;
  3. Review staff exit interviews;
  4. Review incident/accident reports;
  5. Review staff suggestions; and
  6. Review any pertinent information that has training implications;
    - a. Use of Force reports;
    - b. Current litigation;
    - c. Current professional literature; and,
    - d. Changes to policy, procedure and/or directives.
  7. Review of OJT Observations Reports.
  8. Staff or offender grievances that appear to have an impact on training.
- B. To provide guidance and assistance in the development of the Annual Training Plan that is submitted to the appropriate Regional Training Manager by June 1. Copies are forwarded to the Executive Director and Assistant Director of Programs, and a copy to the Facility Head/Division Head by June 15. Members of the Training Committee must sign off on the Annual Training Plan before submitting by June 1. (ATTACHMENT II, "Indiana Department of Correction Division of Staff Development Emergency Operations Approval/ Review Form.)

The Annual Training Plan shall include:

1. Summary of the Annual Training Needs Assessment.
2. Identification of available resources that will be utilized to accomplish the Training Plan.
  - a. Number of Facility Training Staff (to include adjunct positions);
  - b. Identified program equipment;
  - c. Existing space and location (number of rooms and square footage);
  - d. Additional or alternate training space or modifications and improvements needed for training space;
  - e. Number of total staff to be trained/number of required sessions/number of participants per scheduled class; and,

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- f. Program schedules, topic agendas, and annual training calendar.
- C. Review quarterly a summary compiled by the Facility Training Coordinator of the program evaluations by participants for programs conducted the previous quarter.
- D. Review new training initiatives or program proposals from staff and submit recommendations to the Regional Training Manager.
- E. Meet at least quarterly to review progress, resolve problems and make recommendations regarding the facility's/division's training-related activities and submit written minutes of quarterly meetings to the Regional Training Manager and a copy to the Facility Head/Division Head .
- F. Review and approve all facility-based curricula training programs, On-the-Job Training programs and evaluation instruments to ensure that the programs are performance based with written documentation.
- G. Review Staff Development Emergency Operations programs and curricula including all Preservice Academy and Supervisor/Management programs annually as they relate to meeting new employee orientation, veteran In-Service and certification needs, and submit summary evaluations with recommendations to the appropriate Regional Manager by August 1 annually. Copies are forward to the Executive Director and Assistant Director of Programs and a copy to the Facility Head/Division Head by August 15.
- H. All above listed tasks require documentation in the facility training committee meeting minutes.

### **VIII. FACILITY TRAINING COORDINATOR AND CORRECTIONAL TRAINER:**

#### **A. Appointment/Selection:**

The Facility/Division Head and the Regional Training Manager, with the approval of the Executive Director, shall appoint the Facility/Division Training Coordinator.

If the Facility/Division Training Coordinator is a staffing table position, the Trainer shall be employed according to the job qualifications and the procedures established by the State Personnel Department with the Executive Director, or designee, serving as a member of the interview and selection panel.

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If the Trainer position is not a staffing table position, selection by the Facility/Division Head, in consultation with the Regional Training Manager and Executive Director, shall be based on:

1. Training experience;
2. Education;
3. Relevant experience; (corrections, criminal justice, other)
4. Technical expertise in related subject matter;
5. Ability to communicate well verbally and in writing;
6. Organizational skills;
7. Ability to be a leader and role model;
8. Review of last two Performance Appraisals (cannot be on a work improvement plan); and,
9. Ability to use training tools, (i.e. audio/visual equipment, LCD projector and computer software, power point, etc.) as applicable.

### **B. Training Requirement:**

1. Upon appointment of a new Facility/Division Training Coordinator or Correctional Trainer Officer, the Regional Training Manager shall make contact with the Staff Development Emergency Operations Assistant Director of Programs within the first week of assignment/selection to review the current formalized "Train-the-Trainer" program dates/locations available and schedule attendance dates for the "New Correctional Trainer Orientation."
2. Within the first six (6) months of selection/appointment the new trainer must:
  - a. Satisfactorily complete a Basic Train-the-Trainer program, approved by the Executive Director that minimally includes "Adult Learning Theory", "Presentation Skills" and "Classroom Management."
  - b. Satisfactorily complete the Staff Development Emergency Operations "New Correctional Trainer Orientation."
  - c. Facility Training Coordinator's and Officers must maintain certification in; CPR/First Aid, Personal Protection and Security Skills.
  - d. Within the first year of appointment, all new Facility Training Coordinator's shall complete the D.O.C. Supervisory Program.

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### **C. Trainer Responsibilities:**

The Trainer is responsible for ethical conduct and role modeling of professional behavior in word, deed and interactions with others and for the career development of staff. Develops, coordinates, conducts and evaluates specialized training programs and assists other facilities/divisions by conducting training as needed.

## **IX. MUTUAL SUPPORT:**

### **A. Mutual support among trainers (facility, division, central office) for cooperation and collaboration is expected and required for:**

1. Improvement of trainer skills individually;
2. Enhancement of trainer credibility collectively;
3. Advancement of the training profession; and,
4. To facilitate the operation at the Regional Training sites.

### **B. Mutual support among trainers is an opportunity for increased efficiency of training delivery systems:**

1. More effective trainer/participant ratios;
2. Better utilization of space, equipment and materials; and,
3. Expanded Department identification and networking.

### **C. Facility/Division Training Coordinators and certified adjunct instructors shall instructionally support and assist each other in the conduct of the Preservice Academies at all Regional Training sites to ensure proper instructor/participant ratios (1 instructor for every 10 participants for all skill-based instruction). In addition, instructional support for Making A Change Academies to include Scenario Based Testing is required from all Juvenile Facilities.**

### **D. Division of Staff Development Emergency Operations staff shall assist facilities and divisions in the conduct of Staff Development Programs, Trainer Development Programs, Certification Programs, Workshops and Training Seminars.**

## **X. CURRICULA/LESSON PLAN DEVELOPMENT/REVIEW:**

All facility developed lesson plans and curricula support materials shall be submitted (utilizing the below method) to the appropriate Regional Training Manager/Regional Liaison for review. The Regional Training Manager/Regional Liaison shall review the submitted materials for accuracy of content and resubmit

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the materials to the developer for revisions (if necessary). Once the Regional Training Manager/Regional Liaison has reviewed the material and has ensured the accuracy of the content they shall submit the material to the Curriculum Development Manager. The curricula shall then be assigned to a Curriculum Development Specialist for review and critique. If changes are required, the Curriculum Development Manager shall return the curricula to the appropriate Regional Training Manager/Regional Liaison within 30 calendar days. The developer shall then have 30 calendar days to complete any revisions and return the curriculum to the Regional Training Manager/Regional Liaison. Once the Regional Training Manager/Regional Liaison has approved the revisions the curricula will be submitted to the Curriculum Development Manager for final review. After approving the curriculum, the Curriculum Development Manager shall submit the material to the appropriate Assistant Director for approval.

After approval by the Executive Director or designee, the sender shall receive an approved signature copy and Staff Development Emergency Operations shall maintain a copy.

A myriad of methods will be used to develop curriculum; such as a DACUM (Developing a Curriculum). The DACUM is a process used to develop curriculum for a training program or to develop task lists to be utilized for the OJT program. It is a formal process that utilizes a facilitator, recorder and, in most cases, a committee that consists of subject matter experts in the field that the training items are being developed.

### **XI. NEW EMPLOYEE ORIENTATION (NEO):**

All new staff, prior to attending Preservice training, shall have completed, at a minimum, a forty (40) hour New Employee Orientation Program (NEO).

For contractual staff, NEO training requirements, refer to Section XVIII of these Administrative Procedures.

NEO training program consists of two training phases. Phase One shall be completed before the new hire officially starts work at their designated facility. Phase Two shall be completed during the first two (2) days of the new hire's employment. See ATTACHMENT III for a complete list of required training topics.

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- A. Phase One: This phase consists of the new hire completing 16 computerized training modules prior to their official start date. The new employee can view these modules by logging onto the Internet, visiting the Indiana Department of Correction home page, and then clicking on the Staff Development Emergency Operations link.
- B. Phase Two: This phase consists of the new hire completing classroom training, at their home facility, during their first two days of employment. This classroom training covers specific policies and procedures in three main areas; human resource topics, administrative topics, and facility specific topics.

At the end of phase two, each new hire shall complete the new employee orientation test and shall receive at a minimum 70% to pass. If an individual fails the first test they shall be given an opportunity, on the same day, to retake the test. If the new employee fails the second attempt to pass the test, the test shall be given at the Correctional Training Institute Regional location.

Immediately following completion of the New Employee Orientation Training, all staff must attend and complete the Preservice Academy Program.

## **XII. PRESERVICE TRAINING ACADEMY:**

The Preservice Training Academy is designated and approved by the Commissioner for the training of new staff working for the Department. New staff must complete this training prior to supervising offenders, or working in any division of the Department.

The Commissioner has empowered the Executive Director of Staff Development Emergency Operations to designate Department facilities as regional training sites for the conduct of Preservice Academy. The Executive Director has designated the following Preservice Academy sites based on location, availability of trainers, available space and equipment.

The facilities listed below are designated as Regional Preservice Academy Sites and shall conduct all four (4) weeks of The Preservice Academy Curricula:

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### **Central Regional Site:**

**Plainfield Correctional Facility** – Regional Site for the following facilities: Plainfield Correctional Facility, Reception Diagnostic Center, Indiana Women’s Prison, Indianapolis Re-Entry Educational Facility, PEN Products and Short Term Offender Program Facility.

### **East Regional Site:**

**Correctional Training Institute** – Regional Site for the following facilities: Branchville Correctional Facility, Chain O’Lakes Correctional Facility, Correctional Industrial Facility, Edinburgh Correctional Facility, Henryville Correctional Facility, Madison Correctional Facility, Madison Juvenile Correctional Facility, Pendleton Correctional Facility, Pendleton Juvenile Correctional Facility, and New Castle Correctional Facility.

### **North Regional Site:**

**Westville Correctional Facility** – Regional Site for the following facilities: Westville Correctional Facility, Camp Summit Boot Camp, Indiana State Prison, South Bend Community Re-Entry Facility, and South Bend Juvenile Correctional Facility.

### **North Central Regional Site:**

**Miami Correctional Facility** – Regional Site for the following facilities: Miami Correctional Facility, and Logansport Juvenile Correctional Facility.

### **West Regional Site:**

**Putnamville Correctional Facility** – Regional Site for the following Correctional Facilities; Putnamville Correctional Facility, Wabash Valley Correctional Facility, and Rockville Correctional Facility.

#### **A. ACADEMY ATTENDANCE REQUIREMENTS:**

All new staff persons who have offender contact shall attend a Preservice Academy unless they have been separated from ~~the~~ Department employment for less than one (1) year and return to the same or similar classification. (**NOTE:** Offender contact refers to staff who either directly supervise offenders or staff who have regular daily contact with offenders. This does not include offenders coming into an office to clean.)

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Staff, who return from Military Leave or medical disability, regardless of time, will not be required to attend the Preservice Academy unless they have never attended an Academy relevant to a position they are returning to. However; staff in these categories MUST re-certify, at their respective facility, in Security Skills, Personal Protection, CPR/First Aid, PRIOR to supervising offenders. For Contractual staff Preservice training requirements, refer to Section XVIII of this Administrative Procedure.

Following completion of the Preservice Academy, all staff persons assigned to a Juvenile Facility must attend and complete the Making A Change Academy at the Correctional Training Institute. Staff transferring from an adult facility to a juvenile facility, that have not completed the previous Juvenile Academy must also complete the Making A Change Academy, prior to working with juvenile offenders.

Minimum class size to conduct a Regional Preservice Academy is six (6) participants. Mutual support may be required to meet the minimum number of participants by combining new employees among several facilities (or Regional Sites) to form one Preservice Academy Site. Should the Facility Head request an exemption to the minimum attendance requirement, this request must be made through the Regional Training Manager then forwarded to the Executive Director, Staff Development Emergency Operations.

New Employee Orientation must be completed prior to week one (1) of the Preservice Academy.

Exceptions:

1. Exceptions to the attendance requirement must be submitted in writing to the appropriate Regional Manager for review. The Regional Training Manager will forward their recommendations to the Executive Director for final approval.

**New staff shall NOT be assigned to a post unsupervised or have unsupervised offender-contact prior to successful completion of the Preservice Academy and all mandated certification programs.**

2. The Regional Training Manager may, at the request of a Facility Head in the Training Region, make a written request to the Executive Director, requesting that any veteran staff be enrolled in the Academy Program. Either of these requests shall indicate the training need that will be met by the attendance at the Academy.



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Training is conducted for knowledge and skill development. It should not be utilized for disciplinary, behavioral or attitude problems.

### 3. Contractors/Vendors:

Contractors must be provided with requirements for working in or on facility grounds. Contractors must acknowledge receipt of the facility-generated checklist, by signature, prior to working in a facility or on facility grounds. This orientation is effective only for the duration of the contract.

The following is a list of minimum requirements for compliance:

- a) Indiana Data and Communications System (IDACS)  
Criminal History Check;
- b) Trafficking Law; (signed copy to be retained by Facility)
- c) Basic Information: Security level of Facility, which gate/entrance to use, and what to expect – searches, tool inspections, etc.
- d) Identification required;
- e) What is considered to be contraband – tobacco, alcohol, firearms, knives etc.;
- f) Removal/escort of workman from site;
- g) Tools: must provide list of all tools, must inventory each day, facility pertinent requirements;
- h) Vehicle Responsibility: where to park, assure vehicle is secured, and facility pertinent requirements;
- i) Contact with Offenders;
- j) Restrooms/Washrooms; and,
- k) Emergency Aid.

This information can be presented by checklist or letter of information and shall include all issues pertinent to the facility where the contractor will be working. A signed and dated copy for each contractor/contract employee who will be working on or in a facility is to be retained by the Training Department or the Human Resources Department as designated by the Facility Head/Division Director.

### 4. Enrollment by External Agencies:

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It is the primary responsibility of the Preservice Academy to train Department staff. When resources are available, Division training may be available to external agencies. Request for training from external agencies shall be forwarded for review and recommendation by the Assistant Director of Programs and approved by the Executive Director, Staff Development Emergency Operations. There may be a reimbursable cost associated with training non-Departmental staff.

### **B. ATTENDANCE APPLICATION:**

Enrollment in Preservice Academies shall be processed utilizing the PeopleSoft program. To support this requirement, it is imperative that the following procedures be followed by all facilities:

1. Each Regional Site shall create all new Preservice Academy Sessions in PeopleSoft. Each facility will be responsible to enter their employees into the PeopleSoft Sessions. The Facility Training Coordinator is responsible to contact, via e-mail, the Regional Training Manager and the Program Secretary or designee ten (10) days prior to the program date and include the following information to enroll their students:
  - a. Name;
  - b. Gender;
  - c. Employee ID Number;
  - d. Special Needs; and,
  - e. Participants Need for Lodging (East Region Only).
2. The Academy Self-Study participants shall be the only exception regarding the continued use of paper applications by using, (ATTACHMENT IV) State Form 48415, STAFF DEVELOPMENT EMERGENCY OPERATIONS TRAINING APPLICATION. The Facility Training Coordinator is responsible to notify the Regional Training Managers and, if applicable, the Facility Human Resource Office immediately of any scheduling problems (e.g., medical/legal problems, FMLA, military leave, etc.) that modify or alter the “ten (10) working days” timeline/deadline for PeopleSoft enrollment.

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3. For contractual staff completing the Preservice Academy through the Self Directed Study Program, all PeopleSoft data entry shall be completed by the East Region upon satisfactory completion of all program requirements.

### **C. ISSUANCE OF CERTIFICATE OF COMPLETION:**

All blank Certificates of Completion shall be issued to the Regional Training Sites by the East Region. This shall be accomplished by e-mailing the Assistant Director of Programs a request for materials. Employees completing the Preservice Academy shall have their Certificates of Completion issued at graduation on the last day of the Academy. Preservice Academy Certificates shall include signatures of the Regional Training Manager and the Executive Director. Contractual staff completing Week 1 only shall have their Certificate of Completion forwarded by the Regional Training Manager to the facility/division upon documented satisfactory completion of all Preservice requirements.

No Certificates of Completion shall be issued until the participant has completed all make-up work. A letter of completion from the Facility Training Coordinator must be sent to the Regional Training Manager for approval. The hour for hour make-up time(s) and date(s) must be included, as well as, the name of the instructor completing the make-up.

Participants shall not be considered as having met the Preservice Academy requirements until the Certificate of Completion has been awarded.

Without successful completion of the Preservice Academy, staff cannot work a post unsupervised, have regular offender contact, or successfully complete their probationary period to receive their permanent status.

All participants ending their current session of an Academy with an incomplete status must complete, at their home facility, the hours and classes missed. This make-up shall be coordinated through the Facility Training Coordinator and must be accomplished within thirty (30) days of the last date of the academy attended.

Failure to complete within the thirty (30) day timeframe may result in requiring the participant to attend the Academy in its entirety, respective to their position/personnel classification.

Ultimately, it is the responsibility and liability of the individual, the Facility Training Coordinator, Regional Training Manager and the

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Facility/Division Head to ensure the individual's training requirements are satisfied in accordance with these procedures.

Regional Academy Sites shall update PeopleSoft status from enrolled to pass for participants satisfactorily completing all four (4) weeks of the Regional Preservice Academy.

### **D. PROGRAM DISMISSAL:**

#### **1. Dismissed:**

A participant who failed to successfully complete four (4) weeks of the Preservice Academy and was returned to their facility due to issues involving behavioral problems, unexcused absences or tardiness, problems with background check or any other issue may result in the participant being terminated from the Department. A letter of dismissal shall be written to the Facility Head from the Regional Training Manager with a copy to the Facility Training Coordinator. Participants shall not be allowed to return to the Preservice Academy.

#### **2. Administrative Return:**

A participant who failed to successfully complete all four (4) weeks of the Preservice Academy due to no fault of their own and was returned to their Facility shall be classified under Administrative Return.

Reasons for an Administrative Return include excused absences of over 7.5 hours for the entire four (4) weeks of the Academy which could be caused by a serious illness of the participant or of an immediate family member documented by a physician, hospitalization of a participant or of a dependent family member, or death of an immediate family member.

Failing a test shall be included in this category unless the staff member cannot pass after repeated attempts; then that staff member would be a dismissal.

A letter of Administrative Return shall be written to the Facility Head from the Regional Training Manager with a copy sent to the Facility Training Coordinator. The participant shall be expected to return to the next scheduled Preservice Academy to complete their

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training. (Only the days and tests missed shall be required to be made up.)

### **E. TARDINESS AND ABSENCES:**

Good attendance and punctuality are expected of all correctional staff. Any tardiness, absence or class work missed must be made up. After review of the circumstances, for each situation, the Regional Training Manager shall make a determination.

### **F. TESTING:**

Two (2) versions of the tests (A and B) pre/post shall be provided and are the only tests authorized for use. These tests shall be utilized for both Pre-testing and Post-testing (i.e. If Test B is used as the pre-test, staff shall utilize Test A for the post-test). Scores from the pre-test shall not be provided to the class until Post Test day of that week. Each test consists of fifty (50) multiple choice/true and false questions covering that week's curricula.

The following procedures shall be utilized when administering tests:

1. On the day of testing, staff shall procure enough test booklets to accommodate one (1) test booklet for each participant. Each test booklet is numbered sequentially and should be checked for continuity (Example: If ten participants are to be tested, test booklets #1 through #10 would be used). After testing has been completed, ensure that all test booklets are accounted for and returned to secure storage.
2. Have one (1) test answer sheet for each participant. A copy is provided as ATTACHMENT V, "Test Answer Sheet," and may be reproduced locally as required.
3. Pass out the test answer sheets and have participants follow the instructions provided. All materials, books, pads, etc. shall be removed from individual's test surface. Notes taken in class or Participant Manuals are not authorized for use by participants during testing procedures.
4. Pass out the test answer booklets informing participants not to start until instructed.

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5. After confirming that each participant has a test answer sheet and booklet, have participants place the number of the test booklet on the answer sheet in the place provided in the lower left hand corner in the instructor comment section.
6. Advise participants that after completing the test, all answer sheets and booklets must be turned into the instructor.
7. Grade all participant tests.
8. Validate questions missed utilizing (ATTACHMENT VI, "Post Test Validation Form") recording all questions missed by each participant. If over one-half (51%) of participants miss the same question then that question would be invalid and not counted against participant test scores.
9. Score test answer sheets. Return answer sheets to each participant.
10. Provided follow-up test review on each test question.
11. After test review, collect all answer sheets, ensuring that one (1) answer sheet is returned for each participant.
12. Test procedures completed.

It is the responsibility of each Regional Training site to ensure tests are kept in a secure location and accountability of each test maintained at all times. Close attention must be paid to ensure that tests are not compromised at any time, whether during storage or while in use. Failure to maintain integrity of test, test process and test area could result in withdrawal of designation as a training site for the Preservice Academy and disciplinary action against person(s) responsible.

### **G. PRESERVICE PROGRAM DELIVERY:**

All Preservice Academy lesson plans and curricula support materials (including PowerPoint Presentations) shall be provided by Staff Development Emergency Operations. These materials cannot be altered, changed or modified without prior approval of the Executive Director. Recommended changes, updates, modifications, etc., to lesson plans or curricula support materials shall be submitted to the Assistant Director of Programs for review and critique.

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The Assistant Director of Programs shall make recommendations and request approval from the Executive Director on all Preservice Academy changes in curricula content.

Any staff member utilized as an adjunct trainer must, at a minimum, attend a one (1) day Basic Presentations Skills Training program. This program is provided on a quarterly basis by Staff Development Emergency Operations to assist facilities in meeting this requirement. Staff persons who have attended a Trainer Certification Program to qualify in delivery of Certification Programs are exempt from this requirement.

Only qualified staff shall be utilized as presenters for any Preservice Academy Curricula. Presenters' credentials shall be reviewed to determine and verify the basis for their qualifications to be a presenter on a given topic, i.e. education, experience, past and/or current assignments, etc.

Off-color humor, inappropriate and non-relevant profanity, or slang will not be a part of any verbal presentation or program material handout that is provided program participants.

Any instructional management technique that involves the ego gratification of instructors at the expense or undue embarrassment of the participant is unacceptable. Any technique that involves physical or verbal abuse, or the possible perception of abuse, is unacceptable, (e.g., throwing erasers, squirting water guns, manhandling, screaming, yelling, or demeaning behavior, etc).

All Preservice Academy Regional Training Managers are responsible for ensuring that presenters comply with program delivery procedures described herein.

The approved four (4) week Preservice Academy Schedule and Participant Guidelines (ATTACHMENT VII) shall be adhered to by all Preservice Academies. Deviation from the approved schedule/agenda requires prior approval by the Executive Director.

Staff Development Emergency Operations Instructor/Participant ratios must be maintained during all skill based training (one [1] instructor for every ten [10] participants).

### **H. CERTIFICATES:**

Regional Training Sites shall request enough certificates from Staff Development Emergency Operations to meet anticipated needs. No more

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than three (3) months supply should be ordered in advance. Requests for Preservice program materials shall be made thirty (30) days in advance of anticipated need by emailing the Assistant Director of Programs a request for materials.

### **I. TRAINING /PROGRAM DOCUMENTATION:**

All Regional Training Sites shall complete the following documentation as indicated:

1. Regional Academy Agenda and Instructor Assignment Form – All Preservice Academy Sites shall complete all four (4) weeks of the “INSTRUCTOR ASSIGNMENT FORMS” (Attachment VIII).
  - a. Utilization of this form is required to ensure each course of instruction has a class schedule that includes the name of each class, time and date of each class, and scheduled presenter.
  - b. This form shall be completed prior to all Regional Academy classes to ensure that primary and back-up presenters are assigned for each and every topic offered.
  - c. This form also serves as good documentation within the program file to verify the presenter of record after the fact.
2. Participant Post-Test Answer Sheet Form
  - A copy of each participant’s graded post-test answer sheet (including failures/retest) shall be maintained at each Regional Training Site.
3. Preservice Program SIGN-IN/ATTENDANCE ROSTER (ATTACHMENT IX).
  - a. This roster provides verification of actual attendance by each participant.
  - b. This information is necessary to support verification of satisfactory completion of academy program attendance requirements.
  - c. Preservice Program Sign-in and Attendance Rosters shall be maintained at each Regional Preservice Academy training sites.



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4. PARTICIPANT WEEKLY PROGRAM QUESTIONNAIRE (ATTACHMENT X)
  - a. A PARTICIPANT WEEKLY PROGRAM EVALUATION shall be completed at all Regional Training Sites by participants.
  - b. Completed Weekly Program Evaluations shall be reviewed weekly by the Regional Training Manager.

- I. All participants attending the Preservice Academy shall be required to provide an emergency notification number of a designated individual to be notified in the event of serious illness or injury. Participant notification information shall be reported on the Preservice Academy Enrollment Form. This form shall be maintained in the program file.

Program files shall not be purged. Program files may be called upon for many years for litigation purposes; therefore, program files may be archived; however, at no time should they be destroyed.

### **XIII. MAKING A CHANGE ACADEMY:**

The Making a Change Academy (MAC) is designated and approved by the Commissioner for the training of new or transferring staff working in juvenile facilities. This training is designed to better prepare staff for managing adolescent behavior in a correctional environment through facilitation as well as hands on scenario based training process.

#### **A. ACADEMY ATTENDANCE REQUIREMENTS:**

All new staff persons assigned to work in a juvenile facility are to attend the first available MAC Academy after completing the Preservice Academy. Minimum class size will be consistent with Preservice requirements, six (6) participants. Any participants who have make-up requirements from the Preservice Academy will be required to attend MAC Academy immediately following the Preservice Academy. Staff who transfer from an adult facility to a juvenile facility will be required to attend the MAC Academy within 30 working days from their transfer date. Staff are only required to attend one time, but may be scheduled as a refresher by their Facility Head with approval from the Executive Director of Staff Development Emergency Operations.

All MAC Academy lesson plans and curricula support materials (including PowerPoint Presentations and Scenario Test Out Procedures) shall be provided by Staff Development Emergency Operations. These

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materials cannot be altered, changed or modified without prior approval of the Executive Director. Recommended changes, updates, modifications, etc., to lesson plans or curricula support materials shall be submitted to the Assistant Director of Programs for review and critique. The daily topics as outlined on the agenda may not be changed to a different day, but may be modified within the same day without approval from the Assistant Director of Programs.

The Assistant Director of Programs shall make recommendations and request approval from the Executive Director on all MAC Academy curricula content.

Any staff member utilized as an adjunct trainer must meet all adjunct instructor requirements, as well as, have worked in a juvenile facility or have specialized experience working with juveniles.

Off-color humor, inappropriate and non-relevant profanity, or slang will not be a part of any verbal presentation or program material handout that is provided program participants. This is to include the nicknaming of juvenile programs that are demeaning in nature.

As with Preservice Academy no Certificates of Completion shall be issued until the participant has completed all make-up work. A letter of completion from the Facility Training Coordinator must be sent to the Assistant Director of Programs for approval. The hour for hour make-up time(s) and date(s) must be included, as well as, the name of the instructor completing the make-up.

Participants shall not be considered as having met the MAC Academy requirements until the Certificate of Completion has been awarded.

All attendance guidelines and requirements will be consistent with Preservice requirements.

### **B. ACADEMY SITE LOCATION:**

All MAC Academies will be conducted at the Correctional Training Institute, New Castle, IN. Exceptions may only be authorized by the Executive Director of Staff Development Emergency Operations.

### **C. MAKING A CHANGE ACADEMY CURRICULUM**

The MAC Academy shall consist of role playing practicum and scenario based testing in conjunction with a written pre-test and post test.

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Executive Directives and programs that are pertinent to the management of juvenile offenders shall be interjected with approval from the Assistant Director of Programs. Juvenile offenders shall be referred to primarily as “student” during classroom instruction.

### **D. TESTING:**

There shall be two (2) testing processes for each MAC Academy, written pre/post test and a Scenario Based Test.

1. Written: As with the Preservice Academy, two (2) versions of the test (A and B) pre/post shall be provided and are the only tests authorized for use. These tests shall be utilized for both Pre testing and Post testing (i.e. If Test B is used on Monday as the pre test, on Thursday the staff shall utilize Test A for the post test). Scores from the pre-test shall not be provided to the class until Friday of that week. Each test consists of fifty (50) multiple choice/true and false questions covering that week’s curricula. A minimum score of 70% is required to pass.
2. The Scenario Based testing will consist of eight (8) Scenarios that each participant will be presented, ~~with~~ in a role play setting. Testing should consist of a trainer to evaluate and a staff person who has worked at a juvenile facility to act out the student portion of the role play. Testing staff are to review their respective scenario prior to initiation of the test, which includes the evaluation sheet. Role players are to stay within the guidelines of their scenario; at no time should a scenario become an actual physical altercation. A score overall average of 80% of all eight scenarios is required to successfully pass the Scenario Based portion. A master score sheet shall be maintained for recording the entire scenario based testing. (ATTACHMENT XI, MAC ACADEMY SCORE SHEET)

### **3. PROGRAM DOCUMENTATION:**

All MAC Academy program files are to be maintained at the Correctional Training Institute in New Castle, IN. Program files shall consist of:

- a. Sign-in Sheet/attendance roster
- b. Pre and Post Test answer sheets
- c. Written Test Validation Sheet
- d. Scenario Master Score Sheet

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- e. Scenario Testing Evaluations
- f. Participant Questionnaires
- g. PeopleSoft Statistical Report

#### **XIV. ON-THE JOB TRAINING PROGRAM**

The purpose of this On-the Job Training (OJT) Program section is to establish and provide a standard OJT training program for the Indiana Department of Correction. These procedures are applicable to all OJT Training to include New Employee, Promotions, Transfers, Demotions, and Shift Changes.

#### **XV. ANNUAL IN-SERVICE TRAINING:**

##### **A. General Requirements:**

Staff Development Emergency Operations shall structure an Annual In-Service Training for all staff for each year subsequent to the first year of employment. To ensure the Department utilizes a measurable standard for tracking Inservice Training hours, each facility shall be required to complete the following percentage of facility staff In-service for the quarter. (Both DOC and Contractual staff.)

1 <sup>st</sup> Quarter (July – September)	–	30%
2 <sup>nd</sup> Quarter (October – December)	–	30%
3 <sup>rd</sup> Quarter (January – March)	–	30 %
4 <sup>th</sup> Quarter (April – June)	–	10 %

All facility/division staff shall receive training relevant to their duties in mandatory, statutory, policy and administratively mandated topics (ATTACHMENT XII “In-Service Minimum List of Training Requirements”). For contractual staff In-Service training requirements, refer to XVIII of these administrative procedures.

All staff members shall be required to complete a minimum of forty (40) hours of In-Service Training. Executive staff members (Assistant Facility Heads and Above) who exceed forty (40) hours of training, relevant to their position, may not be required to attend the Department's Inservice Training. Professional and job relevant training received by these staff will serve to meet the requirement of the In-Service syllabus. Conferences, Superintendent and Assistant Superintendent Symposiums, Executive Leadership, and NIC Trainings are all examples of substituted training. Additionally, facility Executive staff members must remain current in certifications for Personal Protection/Security Skills, and CPR/First Aid.

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It shall be the responsibility of all Department Heads to schedule their staff for Annual Inservice Training, based upon their hire date or prior to their last Inservice Training. Facility Training Coordinators shall submit an Annual Inservice Training Calendar by June 1 to all Department Heads. The Department Head shall submit a training schedule for their staff, by July 1 to the Facility Training Coordinator. If a training schedule is not submitted by July 1 the Facility Training Coordinator must assign a training schedule for staff members.

If a staff member fails to satisfactorily complete a scheduled training, the Training Department shall notify their Department Head in writing and the staff member may be rescheduled. If the staff member fails to satisfactorily complete the second training, their Department Head and the Facility Head shall be notified. Action appropriate to the situation shall be taken by administrative staff.

1. Central Office Staff shall be required to complete eighteen (18) hours In-Service computer based training, within the fiscal year.
2. Staff may be required to attend remedial Preservice, In-Service, Certification and OJT programs for documented instances of marginal or less than acceptable work performance due to lack of knowledge and skill.

### **XVI. PROFESSIONAL DEVELOPMENT PROGRAMS:**

The Department continues to provide intensive training in the areas of supervision, management, and leadership. This training shall provide correctional staff with the knowledge and skills needed to perform at various professional levels.

- A. The D.O.C. Supervisory Program: This three (3) tier program is designed to enhance the skills and knowledge needed to be an effective supervisor. While each program targets a unique audience, overall the program is a building block process. The D.O.C. Supervisory Program is designed to enhance the skills of the Departmental Staff not only through structured curricula but through the personal interactions and networking opportunities. The three (3) tiers of the program consist of:
  1. Developing Professional Employees: This program will examine the difficult transition from peer to supervisor. Participants will take part in classroom activities and discussions on topics such as "Motivating Myself to Motivate You" and "Delegation: The Art".

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The suggested supervisory experience for this program is 0-12 months.

2. **Optimizing Heightened Effectiveness:** This Program is the second part of a continuous learning process for supervisors. This program provides additional skills and knowledge to those already learned. Optimizing Heightened Effectiveness introduces the supervisor to potential challenges he/she may face, as well as present a building block process to address those challenges in a professional manner. The minimum supervisory experience for this program is 2-5 years.
3. **Conquering Maximum Efficiency:** This is the third component of a continuous learning process for supervisors. The goal of this course is to assist supervisors in developing professionally as a mid-manager. This course is essential in developing the skills and knowledge needed to function in a mid-management position and to increase the accountability and effectiveness of our mid-managers. The minimum supervisory experience for this program is 5-10 years.

While the time frames mentioned above are the suggested target audience, they are not intended to exclude any supervisory staff member from participating in the programs. Supervisory staff, with experience beyond the suggested time frame, are still encouraged to participate.

- B. **The Leadership Academy:** This is a two (2) week training program designed for all staff looking to unlock their potential and become the future leaders of the Department. Week One of the program is focused on “self-assessment”. Highlights of this program include self-awareness (completing of 360° assessment instrument); leadership; developing personal accountability, initiative, and positive attitude. Selected participants will be required to complete exercises between week one and week two entitled “The Challenges”. These exercises will be designed to challenge the participants to develop their leadership skills. Week two is focused on “leadership support”. The topics for this session are Communication, Team Building, and Problem Solving. This week will provide the opportunity for the participants to not only learn; but to apply their leadership skills in a myriad of activities.
- C. **Experienced & Emerging Leadership Program:** This is an executive leadership program targeted to prepare selected staff for future assignments of increased responsibility. This progressive program consists of four (4) sessions, one (1) each season, of a day and a half in

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length. Participants will engage in a myriad of leadership principles, teamwork, camaraderie, and work production on current issues.

- D. Computer Based Training (CBT): Staff Development Emergency Operations will oversee the development and implementation of Computer Based Training modules. CBT will be accessible to all staff members online via the Enterprise Learning Management System.

1. Development of Computer Based Training Modules:

CBT modules shall be developed by Department training staff members who have been thoroughly trained in this development process. After development, the modules shall go through a standard quality control procedure developed by Staff Development Emergency Operations.

2. Request for Development of Computer Based Training Modules:

Any request for a training issue to be developed as a Computer Based Training module shall be requested in writing to the Executive Director.

- E. Certification Programs: Staff Development Emergency Operations will sponsor, host or collaborate with internal or external agencies, academic institutions and vendors/consultants for knowledge/skill based learning opportunities for Department staff.
- F. National Institute of Corrections (NIC) and Office of Juvenile Justice and Delinquency Prevention (OJJDP): Staff Development Emergency Operations shall coordinate and collaborate with NIC and OJJDP to provide Department staff regional and national training opportunities, advertise, notify, disseminate, market, and coordinate applications for NIC and OJJDP training programs.

### **XVII. EMERGENCY RESPONSE AND SKILL BASED CERTIFICATION/RE-CERTIFICATION PROGRAMS:**

The Division of Staff Development Emergency Operations is responsible for the development /coordination/implementation of all emergency response and skill based certification/re-certification training programs. Emergency response training is designed to certify correctional staff and enhance their ability in disturbance control tactics, hostage situations, crisis intervention and other institutional emergencies. To meet this goal Staff Development Emergency Operations has developed OJT programs that new probationary team members for

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S.E.R.T., E-SQUAD and K-9 must successfully complete before they can achieve permanent status as a team member.

Cadets must train and complete all tasks and assignments except “respond to the emergency” until they have successfully completed their OJT period. (Once a member has completed the OJT program he/she can then be deployed to an emergency.) Advanced annual training academies shall be scheduled throughout the year and will be conducted at the Correctional Training Institute.

The Department’s emergency teams are designed as mission specific teams. These teams are:

- Special Emergency Response Team (S.E.R.T.);
- Emergency Squad (E-Squad);
- Situation Control (SITCON);
- Critical Incident Stress Management (C.I.S.M.);
- Canine (K-9); and
- Quick Response Team (Q.R.T.)

A. Special Emergency Response Team: (S.E.R.T.).

A team of highly trained individuals tasked with responding to incidents of a critical nature which would involve, but not be limited to; hostage situations, escapes, riots (with hostage) and high security transports.

S.E.R.T Teams shall have an annual academy consisting of the following core subjects: repelling, building entry and assault, hostage rescue, firearms training, defensive tactics, vehicle extraction, high security escort and transport, land navigation, court room security, route survey, and victim extraction, tactical movement, team member’s responsibility, rehearsal diversion.

Candidates for the S.E.R.T. Teams must successfully complete the Basic SERT Academy, OJT program, and shall be required to attend the annual Advanced SERT academy consisting of the following subjects: repelling, building entry and assault, hostage rescue, firearms training, defensive tactics, vehicle extraction, high security escort and transport, land navigation, court room security, route survey, and victim extraction, tactical movement, team member’s responsibility, rehearsal diversion. For consideration for the S.E.R.T Team applicants must:

1. Have permanent status with one (1) year of full time service with the Department;



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2. Have a satisfactory or above evaluation with no disciplinary actions higher than a written reprimand within the last 12 months;
3. Must not live ~~no~~ more than one (1) hour from the S.E.R.T regional facility; and,
4. Must pass an interview process, medical assessment, and Physical Training Test.

### **B. Emergency Squad: (E-Squad)**

A facility based team of highly trained individuals tasked with responding to riots, disturbances, escapes and facility based shakedowns.

Candidates for the E-Squad Teams must successfully complete an OJT program and shall be required to attend the Basic E-Squad Academy consisting of the following subjects: firearms training, bomb searches, chemical agents, crowd control, 36 inch baton, perimeter establishment, land navigation, escape procedures, building entry and assault, search and rescue, and restraints and defensive tactics.

E-Squad teams shall have an Advanced E-Squad academy consisting of: firearms training, bomb searches, chemical agents, crowd control, 36 inch baton, perimeter establishment, land navigation, escape procedures, building entry and assault, search and rescue, and restraints and defensive tactics.

For consideration for the Emergency Squad applicants must:

1. Have permanent status with a minimum of six (6) months full time service with the Department. Staff who do not have six (6) months Department of Correction experience and have not received permanent status may apply to join the E-Squad Cadet program.
2. Have a satisfactory or above evaluations with no disciplinary actions higher than a written reprimand with in the last 12 months;
3. Must be approved by firearms screening board;
4. Must pass an interview process, medical assessment, and P.T. test;
5. A Cadet may attend E-Squad training however, can not be activated during an E-Squad callout *or compete in the annual competition.*
6. A Cadet shall not be issued E-Squad equipment or uniforms except for P.T. gear
7. Cadets' shall not be listed on an E-Squad roster;

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### **C. Situation Control (SITCON)**

A specially trained team of facility based personnel that are activated to conduct negotiations during a hostage situation or in situations requiring the use of negotiation tactics (e.g. barricaded subjects).

Training shall be conducted as a basic academy and a bi-annual recertification academy consisting of the following subjects: learning the role of a negotiator, negotiator's techniques, stockholm syndrome training, team member responsibility, hostage survival skills, studying personality types of hostage takers, interpersonal communication skills, setting up and operating a throw phone, packet reviewing, assessing stress in a hostage situation, recorder's log and equipment training, and role playing.

Applicants for SITCON must:

1. Have permanent status with a minimum of one (1) year of service in the Department;
2. Have satisfactory or above evaluation with no disciplinary action above written reprimand within the last 12 months;
3. Have strong communication skills (reading, writing, and speaking);
4. Sign a team member commitment form acknowledging expectations of SITCON members; and,
5. Successfully pass an interview process and medical assessment.

### **D. Critical Incident Stress Management: (C.I.S.M.)**

C.I.S.M Teams are regionally based and identified as Northern, Central, and Southern, which provide assistance to employees who, in the course of their work, may become involved in a critical incident. C.I.S.M provides an opportunity for education, reassurance and a forum to voice repressed emotions. C.I.S.M is not intended to serve as counseling or therapy.

Training for C.I.S.M shall be conducted as a basic academy and a bi-annual recertification academy consisting of the following subjects: presentations regarding critical incident stress debriefing, identifying what is stress, identifying what is a critical incident, objective of critical incident stress management, pre-debriefing activities, defusing, and role playing.

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Consideration for C.I.S.M applicants must:

1. Have a minimum of one (1) year full time employment with the Department and must have permanent status;
2. Have satisfactory or above evaluation with no disciplinary action above written reprimand within the last 12 months.
3. Successfully completed and interview process, and medical assessment.

E. K-9:

K-9 Teams are facility based and can be activated at all levels of emergencies. Routinely, they are used for physical plant security and searches, assisting with escape apprehensions, contraband control, crowd control, tracking/trailing, security patrol, perimeter patrol, controlling disruptive offenders, narcotic searches, supervising offender movement, monitoring yard/recreation activities, and high security transport.

Candidates for the K-9 Teams must successfully complete an OJT program. K-9 Team members will also be required to attend a bi-annual recertification academy consisting of the following subjects: drug and tobacco detection, trailing/tracking, personal protection, legal aspects, kennel/equipment care, crowd control, basic/advance obedience, building searches, first-aid, article searches, area searches, and agility.

For consideration for the K-9 Teams applicants must successfully pass an interview process, medical assessment, and physical fitness test.

F. Quick Response Teams (Q.R.T.)

A specially trained team of facility based personnel that are capable of immediately responding to spontaneous emergencies to handle/contain until Emergency Squad can be assembled. Q.R.T. shall consist of three (3) teams; First Responders, Weapon Response and Cell Extraction. Training for Q.R.T. shall be an annual certification/re-certification consisting of the following subjects: physical handling techniques, restraints, cell extraction, training, chemical agents, SL-6, 37mm gas gun, SA 200 pepperball system and stun device training.

Assignment to Q.R.T.:

1. Shall not be considered on a voluntary basis;
2. The Shift Supervisor, with the Custody Supervisor approval shall be responsible for assigning staff to Q.R.T.; and

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3. Staff must have six (6) months in the Department and shall have permanent status.

G. Security Skills, Restraint Chair and Personal Protection:

Staff Development Emergency Operations shall be responsible for certifying and recertifying instructors in Security Skills, Restraint Chair and Personal Protection on a bi-annual basis.

All staff must be certified in personal protection and attain recertification during annual in-service academies, including part-time, full-time and contractual staff.

Staff, including part-time, full-time, contractual staff who present medical certification (not verbal) that states they cannot take part in any or all of the Personal Protection skill based training modules shall not be mandated to physically participate in that part or all of the modules. However, they shall observe all of the modules and physically participate in any portion medical certification does not cover.

Staff shall be verbally tested on those portions of the skill based testing that they cannot perform physically and fully tested on those portions that they can physically perform. No training credit points shall be awarded for the verbal.

Medical Certifications shall be filed with their personnel records and serve as the documented reason that they are not certified.

Any staff, prior to placing an offender in the restraint chair must successfully complete the Restraint Chair Training on an annual basis.

All staff having direct contact with offenders must receive security skills training on an annual basis. Staff not working inside the walls/perimeter of the facility shall not be required to be security skills certified. Contractual staff are not required to be trained in security skills.

Note: One instructor for every ten (10) participants must be maintained during all skill based training.

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### XVIII. CONTRACTUAL STAFF REQUIREMENTS:

#### A. Contractual NEO:

All new contractual staff, prior to attending Preservice Academy, must complete, at a minimum, a forty (40) hour New Employee Orientation Program (NEO).

NEO training program consists of two (2) training phases that shall include pre-employment training, designated classroom-based training topics and administrative-based orientation prior to attending Preservice Academy Program. Phase One shall be completed before the new hire officially starts work at their designated facility. Phase Two shall be completed during the first two (2) days of the new hire's employment. See ATTACHMENT III( NEO ) for a complete list of required training topics.

- a. Phase One: This phase consists of the new hire completing 16 computerized training modules prior to their official start date. The new employee can view these modules by logging onto the internet, visiting the Indiana Department of Correction home page, and then clicking on the Staff Development Emergency Operations link.
- b. Phase Two: This phase consists of the new hire completing classroom training, at their home facility, during their first two days of employment. This classroom training covers specific policies and procedures in three main areas; human resource topics, administrative topics, and facility specific topics.

At the end of phase two, each new contract staff shall complete the new employee orientation test and shall receive at a minimum 70% to pass. If an individual fails the first test they shall be given an opportunity, on the same day, to retake the test. If the new employee fails the second attempt to pass the test, the test shall be given at the Correctional Training Institute Regional locations.

#### B. Contractual Preservice:

The medical and foodservices contractual employer will have the option of assigning staff to attend week 1 of the Preservice Academy, in a traditional classroom setting or complete the Preservice Academy week 1 self study test. Should they not successfully complete the self-study (70% or higher) they will be required to attend the Preservice Academy.

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### **C. Contractual InService:**

Contractual veteran staff members must receive 40 hours of training annually. (ATTACHMENT XIII “Correctional Medical Services Staff Inservice Training Schedule and State Personnel HR Staff at Facilities Schedule”)

This is a combination of what they received from their parent corporation as it involves their specific job duties and the modules of training required by the Department. Department required training modules shall include personal protection and maintain CPR certification. The remaining required hours may be a combination of Department and contractual training hours that are specific to each staff member’s job description.

Documentation of training hours, including rosters, dates and classes conducted by the contractual employer must be submitted to the training department on a monthly basis.

### **D. Part-Time Contractual College Professors Training Requirements:**

College and university staff entering Department facilities to provide educational services to offenders on a limited or part-time basis under the auspices of a contract for services or other agreement for the provision of educational services shall adhere to the following procedures:

It is the responsibility of the representative to the College Consortium to prepare and submit to the Director of Education, Indiana Department of Correction a master list of staff who will be instructors in the adult facilities. The master list will be submitted within the timelines and guidelines as established each year prior to the start of the fall semester.

It is the responsibility of the representative to the College Consortium to gather and submit the following documentation as provided by the Indiana Department of Correction for each individual appearing on the college’s staffing list:

- Criminal Background Check
- Emergency Preparedness Personal Information, Form #51884
- Statement of Trafficking Laws and Authorization for Search, Form #41465
- Tuberculosis Screening for Employees with Previously Negative Skin Test, Form #45900

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- Or, Tuberculosis Screening for Employees with Previously Positive Skin Test, Form #45871
- A certificate indicating the results of a current TB test will be included with one of the two forms above.
- Application for Registered Volunteer, Form #9238
- Registered Volunteer Agreement, Form #46585
- Confidentiality Agreement
- Drug Free Workplace
- Documentation of Volunteer Training, Form #46587

Department facilities will not provide any Tuberculosis testing.

It is the responsibility of each member of the College Consortium to obtain complete documentation on each form including original signatures of instructors and dates.

All instructors will be provided with start and end dates to complete and pass the Computer Based Training modules specific to those individuals.

All part-time contractual college instructors must satisfactorily complete on an annual basis required computer based training and Personal Protection training prior to working with offenders. (ATTACHMENT XIV "Part Time College Professor Inservice Schedule")

Staff, including part-time, full-time, contractual staff who present medical certification (not verbal) that states they cannot take part in any or all of the Personal Protection skill based training modules shall not be mandated to physically participate in that part or all of the modules. However they shall observe all the modules and physically participate in any portion medical certification does not cover.

Staff shall be verbally tested on those portions of the skill based testing that they cannot perform physically and fully tested on those portions that they can physically perform. No training credit points shall be awarded for the verbal.

Medical Certification shall be filed with their training records and serve as the documented reason that they are not certified.

Facility Training Coordinators are responsible for ensuring the completion of Personal Protection Training as well as the facility orientation classes prior to admittance.

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It will not be necessary for college and university staff to have an identification card for each facility where they are providing services. The college/university lists shall be distributed to the facilities where education services will be provided. The college/university representative in charge of the education program shall inform appropriate facility staff (i.e., Supervisor of Education, Assistant Superintendent/Programs, etc.) of the specific individuals needing identification cards.

Before an identification card is made, facility staff shall review the list provided by the Education Division and, if the person's name is on the list, the facility shall provide the person with an identification card using the green "Contractor" standard identification card. On the line for the Facility Name, the facility can simply put "Department of Correction" to indicate that the person may be providing services in more than one facility. This identification card shall be honored at all Department of Correction facilities when the person comes to the facility to provide these approved services.

### **XIX. INTER-AGENCY SUPERVISION OF OUT-CUSTODY WORK CREWS:**

Anyone who supervises a work crew must complete 30 hours of designated training (ATTACHMENT XV "Inter-Agency Training Schedule") prior to supervising offenders and on an annual basis. Facility Training Coordinators must maintain a current list of inter-agency staff that has completed the training requirements. The list shall be provided to the Custody Supervisor for distribution to the appropriate facility staff member. Department offenders shall not be released to an inter-agency staff member until training verification has been confirmed.

### **XX. TRAINING DOCUMENTATION:**

All staff's In-Service Training requirement shall be completed annually (Program Year July 1 – June 30) and documented in their training files in a logical sequence. All staff must formally review their training files annually for accuracy and completeness. Supervisors shall review subordinate's annual training when completing a staff person's annual performance appraisal.

#### **A. Requirements:**

All former employee training records shall be maintained in their original file for a period of three (3) years following an employee's termination of employment on the date of termination. A PeopleSoft training record shall be printed and placed in the employee training record.



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After the initial three (3) year period time, the Facility Training Coordinator/designee shall maintain a copy of the final PeopleSoft Training Record for the employee and the hard copy file shall be destroyed in accordance with Administrative Procedure 00-04-102, "The Establishment, Distribution, Maintenance, Review and Disposition of Administrative Records".

The PeopleSoft Training Record print out shall be maintained for a minimum period of two (2) years in the Facility Training Office. When the former employee has been gone for a period of five (5) years, this form shall be destroyed.

**B. Program files:**

The following list of information shall be included in all Training Program files. These files must be maintained in alphabetical order by fiscal year, July 1 through June 30:

1. Attendance Roster; (signed)
2. Program Evaluation;
3. PeopleSoft Roster; and, (to show application/registration of participants)
4. Trainee's Absence Report.
5. Topic Outline
6. Applicable Program Agenda's

## **XXI. DEPARTMENT TRAINING CREDIT FOR SPECIAL TRAINING:**

**A. Requirements:**

Staff may obtain Training Credit for successful completion of external training relevant to the staff person's job duties. Because of the diversity of training programs available to staff, each individual request is considered relative to staff job classification and content of the course. Training must be conducted by an accredited source such as a governmental agency, college, ICA, ACA, NIC or other outside source approved by the Assistant Director of Programs, Staff Development Emergency Operations. The training must have taken place or have been completed during the current training year. Training Credit shall not be retroactive.

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### **B. Documentation:**

Form, "REQUEST FOR TRAINING CREDIT" (ATTACHMENT XVI) shall be submitted to the Facility/Division Training Coordinator and forwarded to the Regional Training Manager within thirty (30) days of completion of the training/course. Training Credit shall not be given final approval until documentation of successful completion is provided. All disputes regarding the number of Training Credit hours shall be submitted to the Executive Director for resolution.

Documentation shall consist of the following:

1. Certificate or transcript showing satisfactory completion of the training;
2. A synopsis of the course content; and,
3. A synopsis of each assignment, if a correspondence course.

NOTE: Trainers can receive Training Credit hours for conducting training presentations on a one time basis for the fiscal year. The number of hours a trainer instructs shall be computed utilizing the Department's automated training record program used for purposes of evaluation, promotion, fiscal reports, etc.

## **XXII. DEPARTMENT SUPPORT OF STAFF ENROLLED IN COLLEGE COURSES:**

The Department encourages and supports staff in the pursuit of higher education. The attainment of further relevant education can be a benefit to both the staff and the Department. Supervisors, managers and administrators in the Department should encourage and support staff who decides to seek further education. This support can be shown by:

- A. Establishing cooperative relationships with nearby institutions of higher learning which would include staff speaking to classes about careers in corrections, inviting professors/instructors to instruct in Department training programs, distance learning opportunities and assigning a qualified and interested staff person to serve as a coordinator for staff with the institution of higher learning;
- B. Providing classroom space for classes in the facilities when such space is available;
- C. Keeping in mind the safety and security of the Department/facility, working with the staff taking such classes in shift scheduling and posting

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assignments so that staff may enroll in these classes.

Such decisions should be based on the needs of the Department/facility with fairness and consistency; and,

- D. Academic course credit hours equal training hours (i.e. if course is considered a three-hour course by the college/university/trade school the training hours awarded would equal three).

### **XXIII. TRAINING BUDGET:**

It is a Facility/Division Head's responsibility to factor training requirements/needs into the annual budget and forward the budget totals to the Facility Training Coordinator by January 1<sup>st</sup> to determine the budgetary factors for the next fiscal year. Budgetary factors that need to be considered in the annual training plan are as follows:

- A. Personnel Services; (number of staff, overtime)
- B. Printing of program materials;
- C. Office equipment/repairs; (copier, computers, printers, etc.)
- D. Program supplies and materials;
- E. In-state and out-of-state travel; (to seminars, workshops, etc.)
- F. Curricula support; (training aids, videos, correspondence courses, off the-shelf programs, etc.)
- G. Environmental concerns; and, (heating ventilation, air conditioning, lighting, floor and wall coverings, etc.)
- H. Outside vendors (persons who may be contracted for conferences, seminars, internal training, occupationally specific training, etc.)

The Annual Facility Training Plan shall contain a budgetary impact statement developed by the Facility Training Coordinator and Regional Training Manager to be reviewed by the Facility Training Committee relevant to the above stated items.

### **XXIV. REFLECTIONS OF PRIDE STORE (ROP)**

The Reflections of Pride store (ROP) is a joint venture with Staff Development Emergency Operations and PEN Products. ROP stores are open at the 5 Regional Correctional Training Institute sites throughout the state. All 5 Regional Sites shall develop operational procedures to implement and sustain a viable system that governs the control inventory, tracking and receipts of all methods of profit and equipment assigned. The ROP end of the week paperwork shall be completed and submitted on a weekly basis to the Assistant Director of Programs and/or designee.

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The store contains many items, including various types of shirts, hooded sweatshirts, hats, lanyards, coffee mugs, towels and other assorted items, for Department staff to purchase. All merchandise is ready for pick up and payment during the open hours of operation. Custom order forms are available upon request, and payment must be cash or credit/debit card only.

### **XXV. TRAINING REVIEW:**

A Training Review shall be considered a formal review and evaluation of a Facility or Division's training operation conducted by the Regional Training Manager/designee. The review and evaluation shall include a recordkeeping system, compliance with training policy, annual needs assessment, annual training plan, qualifications of instructional staff, training committee support, program design, delivery, OJT on the job training and budget.

### **XXVI. MONITORING:**

In accordance with these administrative procedures, The Executive Director is responsible for the comprehensive development, implementation, review and evaluation of training on a Department-wide basis. These responsibilities are met through continual monitoring of the training process at all levels.

Staff Development Emergency Operations staff shall regularly visit each Regional Preservice Academy site.

Following an on-site visit, Division staff shall provide a written report within five (5) working days to the Executive Director regarding compliance with these procedures.

### **XXVII. APPLICABILITY:**

These Administrative Procedures shall be applicable to all Department facilities/divisions, full-time, part-time, contractual and volunteer staff.

Signature on File

Edwin G. Buss,  
Commissioner

11/3/10

Date